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Description of the revision	New Issue

		Date	Name	Signature
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1. Purpose and effective date of this document

The purpose of this document is to define the general rules adopted by TÜV Italia S.r.l. (hereinafter referred to as TÜV Italia) for Service/Process Certification.
To ensure the utmost fairness and transparency in the performance of certification activities in accordance with these rules:

1. TÜV Italia does not carry out consultancy activities in the field of service certification either directly or indirectly (e.g.: related agencies). This definition does not include activities related to the design stage of Service Certification, which must be understood as technical support activities for the Organisation;
2. TÜV Italia recognizes the importance of impartiality in carrying out its certification activities, and to this end resolves conflicts of interest and guarantees the objectivity of its activities through the implementation of appropriate procedures and controls;
3. TÜV Italia's management is constantly active and committed to guaranteeing impartiality in service certification activities.

This document is effective from its date of approval. Therefore, from this date, the contents of this document replace previously issued rules.

2. Field of application

These rules refer to the requirements of UNI CEI EN ISO/IEC 17065:2012 as amended. (Standard defining "Requirements for bodies certifying products, processes and services").
Although UNI CEI EN ISO/IEC 17065:2012 refers to certification for products, processes and services, these rules only refer to Service and Process certification activities carried out without accreditation. Product certifications are therefore excluded.

Specifically, the conditions set out in these rules apply:

1. To service/process certification in accordance with National and/or International Standards or other Standardisation products (issued by a Standards Body or another body qualified for this purpose) which have as their object specific service and/or process requirements.

2. To service/process certification in accordance with Normative Technical Documents not issued by a Standards Body, but drawn up in compliance with UNI CEI EN ISO/IEC 17065:2012 by the applicant Organisations with validation by the external Technical Committee representing the interested parties.

3. To service/process certification in accordance with Technical Documents not issued by a Standards Body, but drawn up in compliance with UNI CEI EN ISO/IEC 17065:2012 by the applicant Organisations with validation by TÜV Italia's internal Technical Committee.

TÜV Italia applies these rules impartially and in exactly the same way, for all organisations utilising the Service/Process certification services provided by TÜV Italia; in particular, no financial conditions or other undue conditions are ever imposed; access to the certification is not conditional on the size of the organisation or its membership of a particular associational group, nor on the number of previously certified organisations.

The correct application of the certification conditions and procedures is verified by TÜV Italia's "Committee for Safeguarding Impartiality", in which the parties involved in Service/Process certification activities are represented (associations, public administrations, standardisation and research bodies, clients, manufacturers), whose task it is to guarantee impartiality.

3. Terms and definitions

Positive Aspect (PA): a positive aspect of the system, worthy of mention.

Auditor, evaluator: Person who has the competence to carry out an audit.

Deficiency (CA): In the stage 1 audit only, where applicable, a Deficiency occurs in the absence of compliance with the requirements:

- regarding documentation (or documented information) required by the National or International Standard or Technical Document or Normative Technical Document for which the organisation has requested certification
- regarding the implementation of the system with respect to the National or International Standard, or the Technical Document or Normative Technical Document for which the organisation has requested certification

If any Deficiencies (CA) still exist at the time of the stage 2 audit, the certificate cannot be issued and a post-audit will be necessary.

Service/Process Certification: Certification of Conformity issued by an Independent Certification Body to an Organisation which has met the Service/Process requirements defined either in specific National and/or International Standards, or with reference to other "Normative Technical Documents", or with reference to Technical Documents promoted in accordance with UNI CEI EN ISO/IEC 17065:2012.

TÜV Italy approval committee: Technical body of TÜV Italia made up of 1 or more members, competent in the service certification process, whose task is to verify audit documents in order to decide on certification.

External Technical Committee: Technical body external to TÜV Italia representing interested parties in the Service/Process subject to certification, which is responsible for assessing and approving the Normative Technical Document. The evaluation by the Technical Committee focuses mainly on the added value that certification gives to the certified service/process.

TÜV Italia's internal technical committee: Technical body of TÜV Italia made up of 1 or more members, competent in the service certification process, whose task is to analyse, possibly with the support of third parties, the contents of the Technical Documents/Normative Technical Documents for validation and possible updating.

Comment (COM): A comment consists of the audit team reporting to the organisation on aspects that can be improved concerning the documentation and/or implementation of the system, beyond its current compliance and effectiveness.
No corrective action is therefore required of the organisation, although the next audit will verify whether COMs have been analysed and assessed by the organisation and therefore possibly implemented.

CTCS: Certification Service Technical Coordinator.

Technical Document: Document (or set of documents) drawn up in accordance with UNI CEI EN ISO/IEC 17065:2012 containing the description of the characteristics of the service and/or process that will be subject to third party verification. In addition to the service and/or process requirements, the Technical Document shall indicate the tools and methods for verifying compliance and the acceptability criteria as well as any control plans. This document shall be validated by TÜV Italia's internal Technical Committee. Periodically, the Technical Document shall be verified by the Promoter and TÜV Italia's internal Technical Committee to ensure that it continues to provide added value and to analyse any improvements that may be made. Certification in relation to the Technical Document only concerns the Promoter, or Promoter and any other interested party closely related to the Promoter who makes a request, or only the interested parties closely related to the Promoter.

Normative Technical Document: A Technical Document (or set of documents) drawn up in accordance with UNI CEI EN ISO/IEC 17065:2012 containing the description of the characteristics of the service and/or process that will be subject to third party verification. In addition to the service and/or process requirements, the Normative Technical Document shall indicate the tools and methods for verifying compliance and the acceptability criteria as well as any control plans. This document shall be validated by TÜV Italia's internal Technical Committee and also by the external Technical Committee set up for this purpose. Periodically, the Normative Technical Document shall be verified by the Promoter and TÜV Italia's internal Technical Committee and the external Technical Committee to ensure that it continues to provide added value and to analyse any improvements that may be made. Certification in relation to the Normative Technical Document only concerns the Promoter, or Promoter and any other interested party related to the Promoter or otherwise who makes a request, or only the interested parties related to the Promoter.

Audit Team: One or more auditors performing an audit, supported, if required, by technical experts.

Lead Auditor: Auditor, of the Audit Team, who is appointed as group leader.

TÜV SÜD "Service Certification" mark: Specific mark for Service/Process Certification with reference to Technical Documents, Normative Technical Documents and National and/or International Standards. The issue of service certification marks is subject to approval by TÜV Italia and, in particular, those issued under National and/or International Standards are subject to approval by TÜV Italia's parent company.

Mystery Audit: audit activity carried out by one or more persons suitably trained to simulate the behaviour and actions of a potential or actual customer of a service organisation, without being recognised as such by the organisation's personnel, with the aim of assessing the quality of customer/organisation interface activities.

Mystery auditor: A person who has the competence to carry out a mystery audit.

Major nonconformity (MaNC), referred to as a nonconformity (NC) in some certification schemes: A major nonconformity occurs in the case of one of the following situations:
Extensive non-compliance with requirements:
- of documentation (or documented information)
- of system implementation

Any situation that undermines the effectiveness of the system, i.e. raises serious doubts:
- regarding the compliance of the service/process with the requirements of the National or International Standard, or the Technical Document or Normative Technical Document
- regarding the continuity and constancy over time of compliance with the requirements of the National or International Standard, or the Technical Document or Normative Technical Document
- A "minor nonconformity" that lasts over time

Minor Nonconformity (MiNC), referred to as an Observation (OBS) in some certification schemes: A minor nonconformity occurs in the case of one of the following situations:
A lack of compliance:
- regarding documentary requirements (or documented information) that has a purely formal impact on the system without affecting its durability
- of documentation (or documented information)
- of system implementation

Any anomaly that does not however impact the effectiveness of the system, i.e. it does not give rise to serious doubts:
- regarding service/process compliance with requirements
- regarding the continuity and constancy over time of compliance with requirements.

Organisation: Group, company, business, enterprise, entity or institution, or their parts or combinations, whether or not associated, public or private, which have their own functional and administrative structure.

Organisation participating in the certification (applicant): Organisation requesting and/or signing an economic proposal with TÜV Italia to adhere to a Service/Process Certification already in place.

Organisation promoting the certification (promoter): Organisation requesting and/or signing an economic proposal with TÜV Italia for the development of a Service/Process Certification that does not yet exist through the production of a Technical Document or Normative Technical Document.

TQM: Technical Quality Manager.

4. Responsibilities

These rules set out in detail the responsibilities of organisation and TÜV Italia during the contract pertaining to certification activities.
The client organisations of TÜV Italia may create a link to the homepage of the TÜV Italia website which is www.tuvsud.com/it.

5. Control of the rules

In the event of a revision of the rules, TÜV Italia will duly inform all organisations that have a certification contract in place. All changes will be highlighted in such a way as to ensure adequate traceability in the following ways:

- the revised and/or additional text will be written in italics
- any cancelled text that has not been substituted will be indicated with {text cancelled}

In the case of a complete revision of the document, the reference to it is given in the table describing the revisions and, since the changes are significant, the individual change is not highlighted, but the entire content of the document is taken into account.

6. Certification procedure

6.1. General information

Service/Process Certification developed according to UNI CEI EN ISO/IEC 17065:2012 includes a Certification design stage, an implementation stage and an audit stage.

in particular:

- **Design** consists in defining the requirements of the service/process to be certified as well as the certification rules. This stage ends with the drafting and validation of a Technical Document or Normative Technical Document and possibly other supporting documents. Design related to certification developed according to National and/or International Standards is limited to the definition of the certification scheme.

- The **implementation** involves the dissemination by the Promoter of the Certification documents prepared to all potentially interested Organisations and their application. Dissemination for certification developed according to

National and/or International Standards is not applicable as the Standard itself is public and therefore already available to all Organisations.

- The **audit stage** consists of periodic verification carried out by TÜV Italia at the premises of applicant Organisations wishing to be certified to the Technical Document, Normative Technical Document and National and/or International Standards. The purpose of these audits is to guarantee over time the correct application of the requirements indicated in the reference documents of the Certification, as well as the Organisation's adequacy with respect to TÜV Italia internal regulations. Only after a successful audit may the TÜV Italia Certificate and Mark be issued.
  If TÜV Italia personnel are not allowed access during audits, it will not be possible to proceed with the performance of activities and the consequent issue of the certificate, in the case of initial or renewal audits, or it will be necessary to suspend/withdraw the certification already issued in the case of periodic surveillance audits or unscheduled audits.

  The organisation that maintains an active Service/Process certification process with TÜV Italia shall promptly send the same written notification in the following cases:
  - an accident, emergencies, injuries sustained,
  - legislative non-compliance,
  - ongoing legal proceedings related to non-compliance with applicable mandatory provisions,
  - changes in the size and context of the organisation with respect to information previously notified at the time of signing the certification contract (e.g.: changes in scope and related services, processes, sites).

TÜV Italia will examine the information in order to decide what action to take.

6.2. Design, audit methods and audit programme

6.2.1. Designing a Service Certification

The Organisation (Promoter) that intends starting a process for service certification, in accordance with UNI CEI EN ISO/IEC 17065:2012, to National and/or International Standards, or to a Technical Document or a Normative Technical Document shall contact TÜV Italia in order to provide the necessary information to develop a Technical Design Proposal.

TÜV Italia will prepares the certification quote with a description of the service offered, complete with all information on activities and costs. The quote is sent together with the "Order Form", which certifies the acceptance of the contractual conditions, that also include these Rules. TÜV Italia will carry out the Contract Review and, if the outcome is positive, will start the activities envisaged therein.

The technical support activities envisaged in the contract for the certification design stage are assigned to appointed personnel and the Organisation has the right to object in writing, giving justified reasons, to the appointment of the members of the working group.

The necessary stages for the Design of Service/Process Certification to a National and/or International Standard according to UNI CEI EN ISO/IEC 17065:2012 are as follows:

Stages	Description Stages in the design of certification to a NATIONAL or INTERNATIONAL STANDARD
A	Analysis of technical and economic feasibility regarding the "certifiability" of the standard
B	Definition of duration criteria and information to be obtained from the applicant
C	Definition of qualification criteria for the Audit Team and the Approval Committee
D	Development of audit documentation (in particular the checklist to be used during the audit)
E	Qualification of technical staff (audit and approval committee)

The stages necessary for the Design of a Service/Process Certification and therefore for the drafting of a Technical Document/Normative Technical Document in accordance with UNI CEI EN ISO/IEC 17065:2012 are as follows:

Stages	Description Stages of the design of certification Design to a Technical Document/Normative Technical Document	TECHNICAL DOCUMENT CERTIFICATION	NORMATIVE TECHNICAL DOCUMENT CERTIFICATION
A	Technical and economic feasibility analysis of the client's request with the involvement of the CTCS	x	x
B	Methodological support provided to the client in defining the requirements of the Service/Process and in drafting the Technical Document, in accordance with the requirements of UNI CEI EN ISO/IEC 17065:2012.	x	x
C	Development of the Certification Scheme related to the certification project (duration, qualification criteria, audit documents, certificate format, other).	x	x
D	Establishment of the external Technical Committee (applicable in the case of validation of the Technical Document to become a Normative Technical Document)		x

E	On-site test to verify the feasibility and effectiveness of the tool provided (optional)	x	x
F	Validation of the Technical Document by TÜV Italia's Internal Technical Committee.	x	x
G	Validation of the Technical Document to become a Normative Technical Document by the external Technical Committee.		x
H	Periodic review of the validity of the Technical Document / Normative Technical Document	x	x

Promoter, assisted by TÜV Italia as necessary, shall ensure adequate communication of the Service/Process Certification developed and of all related documentation prepared, guaranteeing its controlled distribution, as defined in the contract.

6.2.2. Conduct of audits and audit programme

The certification process adopted by TÜV Italia comprises the following fundamental stages:

a. Start of the certification procedure;
b. Pre-audit (if any);
c. Stage 1 audit (initial review of documentation and initial audit), where applicable;
d. Stage 2 audit (or certification audit) for the initial verification of the Service/Product certification (which may also include any subsequent audits, or post-audits, for the verification of corrective actions required during the initial audit), where applicable;
e. Issue of the certificate following a positive assessment by the TÜV Italia Approval Committee;
g. Periodic audits to maintain the certificate (surveillance and renewal audits, which may also include any follow-up audits or post-audits to verify corrective actions required at surveillance or renewal respectively;
h. Any unscheduled audits to maintain the certificate.

In establishing the Audit Programme, the information indicated in the Certification Scheme is taken into account, which may include for example:

- the size of the organisation,
- the scope and complexity of the System,
- the processes and services, the level of effectiveness of the System,
- the result of previous audits and any certification already issued to the client or outcomes of other audits already conducted.

Audit activities are assigned to the appointed personnel who shall perform them according to the operational procedures defined by TÜV Italia procedures and according to the audit criteria indicated in the designed Certification Scheme. In the event of a conflict of interest, the organisation may object to the appointment of team members, giving adequate reasons for its request.

Unless otherwise provided for in the Certification Scheme, each audit is planned, the dates of the audit and the audit team are communicated to the organisation in writing in advance and the audit team leader prepares an audit plan which is sent to the organisation in advance. Each audit starts with a kick-off meeting held between the organisation's management and the audit team. During the audit, objective evidence is gathered by reviewing documents and records, directly observing activities, interviewing managers and operational staff in the organisation, etc. The audit ends with a

final meeting where the audit team presents a summary of the audit findings to the organisation's management. The results of the audit are recorded in a specific document as indicated by the Certification Scheme.

For its part, the organisation is committed to cooperating to the utmost with the audit team during all the stages described; in particular:

- the organisation shall allow the audit team, and any accompanying persons notified in advance (observers, auditors in training or others), access to areas where activities, services and processes related to the scope of certification are carried out and to interview persons involved in these activities;
- The organisation shall provide the audit team with detailed information on the specific risks that exist in the environment in which they will operate and the prevention and emergency measures taken; it will also undertake either to provide any personal protective equipment to the audit team members, or to give advance notice to TÜV Italia of the type of personal protective equipment the audit team must have.
- it will provide all the information (documented and otherwise) needed to conduct the assessment;
- Define contact persons for the System and indicate them in the organisation chart. These contact persons will be the main points of reference for TÜV Italia auditors during the various stages of the audit. If the organisation intends involving other persons (e.g. consultants), it shall ensure that they act as observers and do not influence or delay the audit activities.

6.3. Start of the certification procedure

The organisation intending to certify its service/process to National and/or International Standards issued by a Standards Body or other qualified body, or to Technical Documents / Normative Technical Documents already validated, shall provide data useful for issuing the quote, by filling in the information questionnaire or other similar documentation.

Once these data have been obtained, the certification quote is prepared with a description of the service offered, complete with all information about the activities and the costs determined on the basis of applicable rates. The quote is sent together with the "Order Form", which certifies the acceptance of the contractual conditions, that also include these rules. TÜV Italia will carry out the Contract Review and, if the outcome is positive, will start the activities envisaged therein.

In order to obtain certification, the applicant Organisation shall demonstrate that it has a system which complies with the requirements contained in the reference sector Standard and/or Technical Document and/or Normative Technical Document.

The methods for conducting audits, as well as the classification of findings set out in this document are standard methods. Any exceptions to these rules are described in the documentation of the specific Certification Scheme (Technical Document, Normative Technical Document, Special Rules for Certification, other documentation).

6.4. Pre-audit

A pre-audit is a visit conducted, if requested by the client, prior to the start of actual certification activities. The manner in which the preliminary audit is conducted is agreed on a case-by-case basis with the individual client.
The results of the preliminary audit are briefly recorded by the audit team, which, if agreed with the client, draws up a report using appropriate forms; however, these results, consistent with the objective of a preliminary audit, and considering how the audit is conducted, are to be considered as indicative, and are only a reference for further investigation for both the Organisation and the audit team.

TÜV Italia can only carry out one preliminary audit for each Organisation participating in the project, before the official start of the certification process. This activity cannot be considered as part of the certification process and its performance cannot reduce the duration of the certification audit.

6.5. Stage 1 audit

The stage 1 audit, in accordance with the Technical Document, Normative Technical Document and National and/or International Standards, usually includes a review of documentation or documented information and the initial audit at the site(s) of the Organisation and is normally performed at the Organisation's premises; only in exceptional cases may the stage 1 audit be conducted without a visit to the Organisation, with the approval of the CTCS.

Its aims are as follows:
- Evaluate the suitability of documentation or documented information of the system with respect to the requirements to be certified and identify any deficiencies.
- Evaluate the level of implementation of the reference criteria for obtaining Certification
- Define and confirm the scope of certification
- Obtain clarification about the details of the certification process.

The findings of the stage 1 audit are described in a dedicated document.
If the audit did not reveal any Deficiencies, the stage 2 audit may be carried out without the organisation having to correct its documentation or operational practices.
Where the audit has identified deficiencies these shall corrected by the organisation prior to the stage 2 audit; if any Deficiencies in documentation still exist when the stage 2 audit is conducted, the certificate cannot be issued and a post-audit will be necessary.

In the Lead Auditor's judgement, the stage 1 audit might need to be repeated.

TÜV Italia reserves the right to assess the need to change its quote, during this audit, if discrepancies are found with the data received from the information questionnaire used to prepare the quote.

6.6. Stage 2 audit

During the stage 2 audit, the first step is to verify the resolution of Deficiencies detected in the stage 1 audit; in addition, any actions taken in response to the Comments made in the stage 1 audit are assessed.
The stage 2 audit is conducted at the organisation's site(s) and aims to ascertain that the system is effectively implemented in accordance with the Technical Document, Normative Technical Document and National and/or International Standards.

At the time of this audit, the organisation's system shall be operational; the terms of how the system is operational are defined in the individual Certification Schemes.

The stage 2 audit shall be conducted, apart from any derogations, within 6 months from the Stage 1 Audit; when determining the interval between stages 1 and 2, the client's needs to resolve potential critical areas identified during stage 1 shall be taken into account. Otherwise, TÜV Italia will assess the need to repeat the Stage 1 Audit in full or in part, possibly on a document basis.

Audit rules for multi-sites are defined within the specific certification scheme.

At the end of the Stage 2 audit, the final report of the activities performed is delivered, supplemented, if necessary, by the list of findings.

There are 3 possible audit outcomes:
a) No Nonconformity (major or minor), any Comments;
b) Presence of minor non-conformities and possible comments, but no major non-conformities;
c) presence of major non-conformities, possible minor non-conformities and comments.

Situation (a)
If no evidence is identified that results in the issue of a nonconformity, the audit team draws up the audit report which is sent to the TÜV Italia approval committee (see section 6.7); a copy of the report is also given to the organisation.

Situation (b)
In the event of evidence resulting in the issue of minor nonconformities and in the absence of major nonconformities, the audit team draws up and delivers to the Organisation the audit report describing the above-mentioned MiNC.
The Organisation shall define the corresponding actions (treatments, root cause analysis and corrective actions), schedule their implementation and actually implement them, within 4 months of the audit at the latest. The Organisation shall, within 1 week of receiving the report, send the defined actions to the audit team leader, who will then send the report to the TÜV Italia Approval Committee.
The audit team will verify the implementation and effectiveness of these actions during the next surveillance audit; actions that are not implemented within the 4-month limit (or that are not effective) will result in the issue of a major nonconformity, and therefore the need to conduct a post-audit.

Situation (c)
If there is evidence resulting in the issue of major nonconformities, the audit team shall draw up and deliver to the organisation the audit report including said NCs.
The organisation shall define the corresponding actions (treatments, root cause analysis and corrective actions) for the major nonconformities identified (including the timeframe for implementation, which must in any case be completed within 4 months of the audit) and communicates them to the audit team leader within 1 week.
The audit team leader examines the proposed actions; if the outcome of this evaluation is not satisfactory, the organisation is requested to change its proposal; if the outcome is favourable, on a date agreed with the organisation (but in any case within 4 months of the audit), the audit team (or other authorised party as defined in the Certification Scheme) shall carry out a post-audit to verify the closure of the corrective actions.
This verification is limited to ascertaining the closure of major nonconformities identified during the stage 2 audit; in this circumstance, all major nonconformities (and also minor nonconformities which the organisation declares as already closed at the date of the post-audit) shall be resolved so that the certificate may be issued.
If the 4-month deadline is not met by the organisation or if the post-audit is negative, the certification process is permanently interrupted; in this case, the certification process shall start again from the beginning.
If the post-audit is conducted within 4 months of the audit and has a favourable outcome, the audit team shall prepare the post-audit report which is sent to the TÜV Italia Approval Committee, together with the report of the previous audit; a copy of the post-audit report shall also be given to the organisation.
Note: if minor nonconformities are present in addition to major nonconformities, these will be handled as described above, in "situation type (b)"; however, as previously mentioned, any minor nonconformities that the organisation has declared closed at the date of the post-audit will be verified during the actual post-audit.

6.7. First issue of certification and renewals

Certification is decided by the TÜV Italia Approval Committee after it has received and successfully reviewed the audit team's favourable report and other documents and data constituting of the certification file.
It is possible that the review of the certification file has a wholly or partly negative outcome; in this case and depending on the situation, as assessed by the approval committee on a case-by-case basis, the reports may be revised by the committee, with changes being notified to the organisation in various forms, either by amending the audit reports or by formal communication. The certification is then issued on the basis of the changes made.
The approval committee may also decide not to issue the certificate. In this case, TÜV Italia will formally notify the organisation in writing of the reasons for this decision.

The documents certifying the Certification consist of:
a) a letter of approval
b) a certificate

6.8. Surveillance audit

The purpose of surveillance audits is to ascertain that the certified organisation maintains an effective system, conforming to the requirements of the reference Standard(s) and/or Technical Document(s) and/or Normative Technical Document(s). This surveillance is carried out at the Organisation's premises, unless otherwise specified in the Certification Scheme and therefore approved by the CTCS.
Surveillance audits are mandatory for the continued validity of the certificate; if the certified organisation, without adequate justification, does not intend to undergo a surveillance audit according to scheduled times, TÜV Italia may suspend the certificate;
As a general rule, during the certificate validity period, surveillance audits are conducted on an annual basis to confirm the validity of the certificate, unless otherwise specified in the Certification Scheme.
The first surveillance audit shall be carried out 12 months after the date of completion of the certification audit (including any post-audit), with a tolerance of +0 / -12 weeks. The subsequent surveillance audit shall be conducted 24 months after the date of completion of the certification audit (including any post-audit), with a tolerance of ±12 weeks.
Finally, surveillance after each renewal of the certificate is carried out on an annual basis, referring, in all cases, to the tolerances indicated above and the day and month when the certification audit was completed (including any post-audit).

Exceptions to the above deadlines may be granted by TÜV Italia exclusively as a result of exceptional events, justified in writing by the organisation with suitable advance notice.

Audit rules for multi-sites are defined within the specific certification scheme.

Each surveillance audit includes full verification of all requirements, in the same way as initial and renewal certification, unless otherwise specified in the Certification Scheme.

Naturally, the supervision of the BA Division Director and possible review by the approval committee may lead to the need to revise the audit team's report; in this case, the relevant amendments shall be forwarded to the organisation.
TÜV Italia monitors reports relating to surveillance, through delegated and technically competent personnel, should the need arise.

If, following the surveillance audit, major nonconformities are identified and are not resolved within 4 months, or if the post-audit has a negative outcome, TÜV Italia will suspend and, if necessary, withdraw the certificate (see sections 9 and 10).

6.9. Renewal audit

The duration of the renewal audit is defined on the basis of information acquired during surveillance audits or received in a written communication regarding substantial, recent changes to the Organisation.
In view of the above, it may be necessary to revise the existing contract or to send a new quote.
The purpose of surveillance audits is to ascertain that the certified organisation maintains an effective system, conforming to the requirements of the reference Standard(s) and/or Technical Document(s) and/or Normative Technical Document(s).
The renewal audit is mandatory for the continued validity of certification and shall be completed (including the performance of any post-audits and the activities of the Approval Committee) by the expiry date indicated on the certificate.

If the renewal activities are completed after the expiry date of the previous certificate, the renewal certificate will be issued on the date of approval, but the expiry date will be calculated at 3 years from the expiry date of the previous certificate (thus highlighting a non-continuity of certification with reinstatement which will be specifically indicated on the certificate). In such cases, the Organisation will not have a valid certificate for the period between the date of expiry and the date of approval, which may not be more than 6 months from the date of expiry of the previous certificate

If the renewal is not completed within the above terms, the organisation will waive the use of the certificate and of the mark, if any, and if it intends re-obtaining the certificate, it shall proceed with a new certification process, starting again as based on the provisions in point 6.3 of these rules.
Each renewal audit covers the entire system.

In the case of renewal audits, the following three situations may also arise:
a) No nonconformity (major or minor), possible comments;
b) presence of minor nonconformities and possible comments, but no major nonconformities;
c) presence of major nonconformities, possible minor nonconformities and comments.

Reference is made to the previous chapters for details of the various scenarios.

Certificate Renewal is decided by the TÜV Italia Approval Committee after it has received and reviewed the audit team's favourable report and other documents and data constituting the renewal file, as described in the "initial certification issue" stages, with a positive outcome.

6.10. Special audits or unscheduled audits

At the specific request of the Organisation, or in the opinion of TÜV Italia in the presence of valid and proven reasons, unscheduled audits may be carried out on the certified organisation.
These audits may have the following purposes:
- an audit to lift certificate suspension
- an in-depth audit on:

- the management of complaints or reports received from clients of the certified Organisation.
- significant changes made by the Organisation to its system.
- information of serious accidents, emergencies, accidents, judicial measures, malfunctions or non-compliance with the conditions under which the certificate was granted
- the correct use of the certificate and the Mark
- requests of the Approval Committee following the evaluation of a file.

The details concerning the conduct of these audits shall be established on a case-by-case basis by TÜV Italia, depending on the circumstances. The dates of the activity and the audit team are communicated to the organisation in writing in advance, except in the case of audits at short notice or without notice (if provided for in the specific regulatory certification scheme).
Unless otherwise decided by TÜV Italia, these unscheduled audits do not replace the surveillance or renewal audits, but are in addition to them and are the responsibility of the audited organisation.

6.11. Reduction in the scope of certification (if any)

TÜV Italia has the right to reduce the scope of the certification to exclude parties that do not meet requirements, if the organisation has failed, persistently or seriously, in meeting the certification requirements concerning parts of the scope of certification. This reduction will be consistent with the requirements of the standard used for the certification.

A regards extending the scope of the certificate, the organisation may apply, following the same process as for initial issue.

If the extension is granted at the same time as the next surveillance or renewal audit, the extension request must be received by TÜV Italia prior to the audit as a review of the existing contract may be necessary.

The extension may only be granted following a favourable audit of the organisation, with reference to aspects of the system to be covered by the extension.

A change in the scope of the certificate is decided by the TÜV Italia Approval Committee after it has received and reviewed the audit team's favourable report and other documents and data constituting the extension/renewal file, as described in the "initial certification issue" stages, with a positive outcome.

7. Register of certified organisations

Once service certification has been issued, TÜV Italia updates its register of certified organisations. Information on this may be provided on request.

In compliance with legal requirements on the protection of privacy, signing the certification contract authorises TÜV Italia to enter the organisation's data in the register.

8. Referencing the certification. Use of the certificate and mark

On the successful completion of a Service/Process certification audit, TÜV Italia may issue a "Service Certification" Mark.

The "Service Certification" mark internally identifies the number to which the Technical Document and/or Normative Technical Document and/or Service/Process Standard has been uniquely associated and registered.
The certified organisation is only authorised to use the "Service Certification" mark and the Certificate in the version sent at the time of issue of the certificate, following the instructions for use given in the Guide to Certification Marks - Rules and Procedures for Certification - Use of the Certificate and Mark, available at www.tuvsud.com/it. In situations not covered by these Rules, the Organisation shall contact TÜV Italia for written authorisation on the use of the Certificate and/or the Mark.
Any further procedures and limitations may be indicated in the specific Certification Scheme. The Mark granted is in no way assignable or transferable.

The Organisation shall prepare and - after being certified - put in place a documented procedure for the management of certification procedures (and in particular the use of the certificate and mark) which shall indicate the function(s) responsible for this management and the methods of use of the certificate and mark.

In the case of suspension or withdrawal of the certificate, the certified Organisation shall stop all use of the certificate and of the mark and of any other reference to the certification; If this does not happen, TÜV Italia may take legal action.

9. Suspension of certification

TÜV Italia, for reasons it considers serious and explained in writing to the organisation, may suspend the validity of management system certification already granted for a defined period of time and in any case for no more than 6 months. In such cases, the Organisation will lose, for the period of time considered and defined by TÜV Italia, the right to refer to said certification and therefore, in particular, also the license to use the TÜV Italia trademark.
In particular, certification may be suspended in any of the following cases:

- the Organisation does not perform the post-audit necessary to verify the correct and effective closure of the nonconformities identified during the surveillance or renewal audit.
- the post-audit related to surveillance has a negative outcome following a failure to close the corrective actions defined for the Nonconformities. In this case, the maximum period of the suspension is identified by taking as the reference the surveillance key date (the month and day of the end of stage 2 activities including any post-audit) plus six months.
- the Organisation does not carry out the surveillance audit within the specified time.
- the Organisation does not accept the performance of special or unscheduled audits (ref. section 6.10 of these Rules)
- the Organisation refers to the certification in an incorrect way.
- Complaints are not handled properly.
- the Organisation is more than fifteen days late in paying amounts due.
- the Organisation fails to promptly inform TÜV Italia of any actions (Public Authority and/or legal, judicial or criminal proceedings) against it, accidents or serious injuries.
- In the event that legal proceedings are underway or the process has been started to notify in advance the start of legal proceedings against the Organisation, TÜV Italia may proceed with the precautionary suspension of the certificate until such time as when elements underlying the proceedings taken have been clarified, and objective evidence of the non-involvement of the management system certified or of its elements or responsibilities in the aforementioned legal proceedings has been obtained.
- In the event the management system does not guarantee compliance with mandatory requirements applicable to people, privacy, the environment and safety of the products/services provided. This suspension may also be indicated by TÜV Italia during the period when Corrective Actions are implemented, pending the post-audit to close the Nonconformity.
- the Organisation modifies its management system in such a way as to affect the certification issued without informing TÜV Italia.

- the Organisation does not notify corporate changes that might affect the certification issued.
- The Organisation is put into liquidation or transferred/sold to third parties and/or is acquired by third parties or ceases its activities or is involved in judicial and extrajudicial creditor arrangements, or is declared bankrupt.
- At the direct request of the Organisation, justifying the reasons, for a period not exceeding 6 months and in any case not beyond the expiry date of the certificate.

If certification is suspended, TÜV Italia will officially notify the organisation in the manner provided for by law, also communicating the conditions that the organisation must meet, within a specified period of time, in order for certification to reacquire full validity and not be permanently cancelled.
TÜV Italia may make such notification public.
Should the organisation, after the suspension of the certification, continue to refer to it in any way, TÜV Italia may take legal action.
If the Organisation meets the conditions established by TÜV Italia by the end of the suspension period, TÜV Italia will lift the suspension of the certification, giving official notice to the organisation. If, instead, at the end of the suspension period the organisation still fails to meet the established conditions, TÜV Italia will withdraw the certification (see section 10).
If notification of the suspension of certification has been made public, any subsequent lifting of the suspension shall also be made public.
All decisions related to the suspension of certification (and lifting of the suspension) at TÜV Italia are properly documented.

10. Withdrawal/cancellation of the certification

TÜV Italia, for reasons deemed to be of considerable gravity and duly justified in writing to the organisation, may cancel the validity of the certification already granted, which automatically entails the withdrawal of the authorization issued to the organisation to refer to the certification in the manner described (see section 8).
In particular, the withdrawal/cancellation of certification may occur in any of the following cases:

- the organisation does not comply with the conditions set by TÜV Italia to lift the suspension of the certification;
- the organisation stops manufacturing the products/providing the services, processes, services mentioned in the certificate for a period of time exceeding 1 year;
- the organisation terminates the certification contract;
- TÜV Italia changes the rules of the certification system and the organisation cannot or does not want to comply with the new requirements;
- when circumstances occur, such as those referred to for suspension, which are judged by TÜV Italia to be particularly serious;
- in the case of a multi-site organisation, if the headquarters or one of the sites does not fulfil the requirements for multi-site certification;
- if the Organisation does not accept the new economic conditions established by TÜV Italia for the possible amendment to the contract.

Withdrawal/cancellation of certification shall, in all cases, be notified to the organisation in the forms required by law, and TÜV Italia may make such notification public; in particular, it notifies ACCREDIA in the case of certificates issued within ACCREDIA-accredited sectors of activity, and if provided for by the rules for the accreditation of specific certification schemes or sectors.
Should the organisation, after the withdrawal/cancellation of the certification, continue to refer to it in any way, TÜV Italia may take legal action.
All decisions related to the withdrawal/cancellation of certification at TÜV Italia are properly documented.

11. Management of claims and reports by client organisations and by interested parties

The organisation (already certified by TÜV Italia or not yet certified, but which nevertheless uses TÜV Italia's certification services) shall have prepared and implemented a documented procedure for the management of complaints and reports that ensures:

- the registration of complaints and reports received from its clients and interested parties related to products, processes, services to which the management system applies;
- appropriate investigations of these reports, and their registration;
- the adoption, where necessary, of corrective actions and their registration;
- a reply in writing to the complainant within a specified timeframe.

The organisation shall keep these records at the disposal of TÜV Italia, which may examine them during audits. If the certification refers to EA sectors for which TÜV Italia is accredited by ACCREDIA, the records shall be kept available for verification by ACCREDIA representatives.

12. Documentation, or documented information of the system and accessibility for TÜV Italia srl audits

The certified organisation shall make available to the TÜV Italia audit team its documentation or documented information on the management system. A copy of this documentation or documented information shall also be made available on magnetic media to TÜV Italia in case if required by members of the TÜV Italia Approval Committee and Certification Committee.
Any industry standard is acceptable, for the disk copy.
The organisation is also required to keep a copy of the TÜV Italia audit reports for 3 years after the date of each report.

13. Changes to the certified system

The certified organisation shall inform the relevant office of TÜV Italia, with a formal written notification (mail, fax, letter) of any major changes it intends making to its management system (for example, the inclusion of other certification standards and/or requirements excluded as they are considered not to apply, changes to the type of products, processes or services mentioned in the certificate, extension to include another site etc.), or to the related controlled documentation (see section 12).
TÜV Italia will consider whether there is a need to carry out an additional unscheduled audit, based on those changes (see section 6.10). This may be accompanied by a revision of the certification, or a completely new certification process.
Failure to observe these conditions may result in suspension of the certification (see section 9).
The certified organisation itself may ask TÜV Italia to review its certification, if one or more of the situations described above, should occur.
Also in this case, TÜV Italia will assess whether or not there is a real need to carry out an additional unscheduled audit as a result of the changes (see section 6.10) or whether to start a brand new certification procedure. The new audit, and the activities and processes for which the extension is required, shall cover all the points of the applicable standard.
In all cases, the revised certifications will be issued with the favourable opinion of the approval committee.

14. Changes to certification rules

TÜV Italia may modify its certification system as described in these rules.
If it does, TÜV Italia will allow the already-certified organisations to make observations on the proposed changes.
Once the changes have been decided, TÜV Italia will specify the date on which they will come into force, and will give details of the changes and any corrective actions required from the organisations, allowing them a reasonable period of time to align.
If an organisation cannot or does not want to adapt to the new rules, TÜV Italia will withdraw or cancel the certification.

15. Special requirements for organisations already certified by another body (transfer of service certification)

Only in the case of Service certification issued for National or International Standards (issued by a Standards Body or by another body qualified for this purpose), may TÜV Italia recognise the validity of certificates issued by other Certification Bodies accredited by recognised bodies and which are part of the Mutual Recognition Agreement (MLA Multi Lateral Agreement) unless this conflicts with the certification scheme established by TÜV Italia.
The procedures for recognising the certificate are dealt with internally by TÜV Italia.
The transfer of certification takes place following a specific request made by the Organisation and involves verifying conditions based on a review, possibly at the Organisation's premises:

- of the reasons for the request;
- of previous reports of the outgoing certification body;
- of the validity status of the issued certificate.

If certification is suspended or withdrawn, or in cases where the certificate is no longer valid, the application shall be processed as if it were for new certification.

16. Confidentiality

TÜV Italia assures that all information obtained in the course of certification activities shall be considered confidential, in compliance with applicable mandatory legislation and technical standards, and shall be treated confidentially at all levels of its organisation, except as provided for by law or by the accreditation bodies or if authorized in writing by the Organisation concerned.
TÜV Italia shall also be aware of its duty to guarantee the protection of the Organisation's proprietary information and any other material and document of intellectual property, whereby proprietary information shall mean, by way of example but not limited to, any idea, concept, know how, patents, projects, prototypes, industrial secrets and financial information.
This principle of protection will not include information that has entered the public domain.

17. Complaints (or Appeals)

The Organisation using TÜV Italia's certification services shall have the right to submit written appeals or appeals against the decision taken by TÜV Italia regarding the granting, suspension or withdrawal of certification.

The Organisation that decides to appeal shall send a letter by registered mail with return receipt to TÜV Italia S.r.l. for the attention of the Director of the BA Division - Via G. Carducci 125 ed. 23 - 20099 - Sesto San Giovanni (MI).
This letter shall include the Organisation's details, the subject matter of the appeal, the reasons for the appeal, any attachments in support of the reasons previously referred to, and the signature of the Organisation's legal representative.
It should be noted that the absence of one or more of the above elements constitutes grounds for dismissing the appeal; in such cases, TÜV Italia shall send the sender a communication stating the reasons.
The Division Director, with the support of the Head of Legal Affairs, will initiate the review of the appeal involving the parties concerned and at the end of this review, the claimant will be informed of the outcome of the action within two months from the date when the appeal was received

18. Complaints against TÜV Italia

TÜV Italia shall take into consideration complaints and reports from the market concerning client Organisations under the following conditions:

- the complaint shall be formalised in writing (any medium such as letter, fax, e-mail is acceptable) and shall describe in detail the situation that is the subject of the complaint/report;
- the complaint shall indicate the name and address of the complainant/reporting party;
- the reasons for the complaint/report shall be formalised.

If such information is not available in the complaint or report submitted by the Organisation or from another source, the Organisation shall be contacted for clarification.
Complaints and reports are managed through a special complaints register and an initial response will be sent for each complaint/report within 10 working days of receipt.
Complaints are examined by the Division Director, or a person delegated by him/her, who carries out appropriate investigations and enquiries with the help of departments concerned, analyses documentation received and carries out necessary investigations.
If necessary, TÜV Italia reserves the right to conduct an additional audit to verify the status of the management system of the Organisation that is the subject of the complaint/report. These unscheduled audits will be conducted in accordance with indications in section 6.10 above.
At the end of the complaint/report management process, TÜV Italia shall send a written notification to the complainant/reporting party regarding the outcome of the investigation and any measures adopted.
Information about the content of the complaint/report and its resolution cannot be made public without the consent of the parties involved.

19. Disputes

In the event of any dispute with TÜV Italia srl, the Court of Milan has jurisdiction.

20. Financial conditions

TÜV Italia defines the economic conditions applicable to its certification activities so as to obtain a sufficient profit to guarantee independence in the performance of its activities and allow for the continual improvement of services offered, both traditional and innovative.
TÜV Italia prepares quotes for each certification request received and sends it to the applicant Organisation. This document contains all the technical and economic information related to the requested activities.

The quote is prepared based on the information received in a questionnaire filled in by the requesting Organisation, also considering the specific criticalities and risks of the processes, the environmental aspects, the specific requirements established by accreditation bodies or by national and international binding documents.

After the contract has been signed, TÜV Italia reserves the right to revise contract documents if, during the certification cycle, it discovers variations with respect to the conditions declared by the Organisation and on the basis of which the quote was issued, subject to notification to and acceptance in writing by the Organisation. If the Organisation does not accept the quote, the contract will be terminated and the certificate, if already issued, will be immediately withdrawn.

If, for any reason, the Organisation breaches the Contract after its confirmation or withdraws in advance, TÜV Italia reserves the right to charge a penalty. This will be an amount equal to the residual value of the Contract discounted at the withdrawal time based on the increase in the cost of living (ISTAT index) of consumer prices increased by 3 points plus the cost of the services already offered. This is without prejudice to compensation for further damages.
If - without withdrawing from the Contract - the Organisation cancels a single scheduled audit activity within the 20 working days preceding the agreed date, TÜV Italia reserves the right to charge the full amount of the scheduled activity.